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Capse: 1:09-cv-04529 Document #: 70 Filed: 07/12/10 Page 1 of 25 PageID #:473 1
    TRANSCRIBED FROM DIGITAL RECORDING
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                   IN THE UNITED STATES DISTRICT COURT
                     NORTHERN DISTRICT OF ILLINOIS
 3
                            EASTERN DIVISION
    MARIO VASQUEZ,
 4
                                        Docket No. 09 C 4529
 5
                        Plaintiff,
                                      ) Chicago, Illinois
 6
              v.
                                      ) April 5, 2010
 7
    JOE DORTHA PARKER, and
                                        2:35 o'clock p.m.
     CITY OF CHICAGO,
 8
                        Defendants.
 9
                   TRANSCRIPT OF PROCEEDINGS - MOTION
               BEFORE THE HONORABLE SIDNEY I. SCHENKIER
10
    APPEARANCES:
11
    For the Plaintiff: GREGORY E. KULIS AND ASSOCIATES
12
                                  BY: MR. DAVID STEVEN LIPSCHULTZ
13
                                   30 North LaSalle Street
                                   Suite 2140
                                  Chicago, Illinois 60602
14
    For Defendant City of
15
                                 DYKEMA GOSSETT PLLC IL
                                  BY: MR. DANIEL MATTHEW NOLAND
     Chicago:
                                  10 South Wacker Drive
16
                                  Suite 2300
                                  Chicago, Illinois 60606
17
    For Defendant Parker:
                                 QUERREY & HARROW, LTD.
18
                                  BY: MR. SCOTT R. ROCHELLE
19
                                   175 West Jackson Boulevard
                                   Suite 1600
                                   Chicago, Illinois 60604
2.0
21
                        ALEXANDRA ROTH, CSR, RPR
                       Official Court Reporter
22
                        219 South Dearborn Street
                               Room 1224
23
                         Chicago, Illinois 60604
24
                             (312) 408-5038
25
    NOTE: Please notify of correct speaker identification.
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Case: 1:09-cv-04529 Document #: 70 Filed: 07/12/10 Page 2 of 25 PageID #:474

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THE COURT: Okay.
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2
             MR. NOLAND: Does that -- maybe David would --
3
             MR. LIPSCHULTZ: I think that's about right.
              THE COURT: Now, do any of those CRs represent pending
4
5
    proceedings?
             MR. NOLAND: No, we have not produced the open --
6
7
     there are some open files --
              THE COURT: All right.
8
9
             MR. NOLAND: -- which we have not produced. At this
    time we have asserted the law enforcement privileges.
10
11
              THE COURT: Okay.
             MR. NOLAND: And I believe the plaintiff has respected
12
13
    that and waiting for those investigations to complete.
14
              THE COURT: All right. So everything that's been
    produced is a terminated proceeding? Or I should say completed
15
16
    proceeding.
             MR. NOLAND: Yes.
17
              THE COURT: All right. With respect to those
18
    proceedings, did any of them involve any recommended
19
20
    discipline?
             MR. NOLAND: May I have a moment?
21
22
              THE COURT: Of course you may.
         (Brief pause.)
23
24
             MR. NOLAND: Yes.
25
              THE COURT: How many of them?
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Capse: 1:09-cv-04529 Document #: 70 Filed: 07/12/10 Page 3 of 25 PageID #:475 2

follows once that activity by IAD is done?

MR. NOLAND: I can tell you in general. I can't --

I'd have to study those two particular files in specifics.

general it would be, depending on the amount of the

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23

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25

```
discipline -- well, either way, it would go through command
 1
     channel review, which would be either -- one of the
 2
     supervisors, two other supervisory personnel who don't have
 3
     direct supervisory authority over him. They would either
 4
 5
     concur or not concur either way.
              Regardless of their decision, it would then, I
 6
 7
    believe, go to the superintendent's office for final decision
     on either concurring, not concurring, with the file to
 8
 9
     determine if it is --
              THE COURT: Can I stop you there for a moment?
10
11
              MR. NOLAND: Yes.
              THE COURT: In this particular instance, the two that
12
13
     you mentioned that there was a recommendation on, did those go
14
    to the superintendent?
              MR. NOLAND: Yes, they would have. I believe that --
15
     I -- my understanding is that any sustained file is
16
     ultimately going to make it --
17
              THE COURT: When you say sustained, you're talking
18
19
     about at the IAD or IPRA stage?
              MR. NOLAND: Yes, sir. I believe that any sustained
20
     file ultimately will go to the superintendent's office for the
21
     final determination.
22
              THE COURT: All right. And then in this -- those two
23
     instances where that happened, were those recommendations of
24
25
     discipline adopted?
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MR. NOLAND: I believe so, yes.
1
2
              THE COURT: Okay. All right.
             MR. NOLAND: And that's based on my recollection.
3
    don't believe that they were, you know, otherwise overturned or
4
5
    what -- or that the suspension -- I'm sorry, that the
    recommended discipline was altered.
6
7
              THE COURT: Okay. And then did they proceed further
    to police board review? Or did they stop at the superintendent
8
9
    level?
             MR. NOLAND: I do not believe they -- I -- I -- as I
10
    sit here today, I'm not aware of any case going to the police
11
    board with Parker.
12
13
              THE COURT: All right. Now, we've let Mr. Noland
14
    carry the water here on answering these questions. But other
    attorneys have these files. So does everybody agree with what
15
    Mr. Noland has said --
16
17
             MR. LIPSCHULTZ: Yes.
              THE COURT: -- generally speaking?
18
19
             MR. LIPSCHULTZ: I have seen no complaints proceed to
    the police board.
20
              THE COURT: All right. Now, in those instances we
21
    talked for a moment about where the recommendation by IAD or
22
    IPRA or before that OPS was for some discipline. We talked
23
24
    about the course. When the recommendation is that no
25
    discipline be imposed, I suppose you'd say unsustained --
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MR. NOLAND: There would be three choices, either not
 1
     sustained, exonerated or unfounded.
 2
              THE COURT: All right. In any of those three
 3
    instances, does the matter then go up through the police
 4
 5
     department again?
 6
             MR. NOLAND: It goes -- sorry. It would go to the
 7
     investigators' supervisors.
              THE COURT: Within?
 8
 9
             MR. NOLAND: Within IAD or --
             THE COURT:
                          IPRA.
10
             MR. NOLAND: OPS, IPRA. And then it -- I believe it
11
     would also then go through command channel. But then that's
12
13
     it, if they all concurred.
14
              THE COURT: Okay.
             MR. NOLAND: Would not go to the super --
15
              THE COURT: At that level it wouldn't go to the
16
     superintendent?
17
             MR. NOLAND: That's right. So in other words, not
18
19
     every CR file goes to the superintendent's office.
20
              THE COURT: Okay. All right. All right.
             Well, that -- that information I think is a little bit
21
    helpful to me. You know, I'm looking at the briefs and looking
22
     at the various opinions, both the -- you know, the Gekas
23
24
     opinion and all of your debate about what that means or what it
25
     doesn't mean, the amendments to the Freedom of Information Act,
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some of the subsequent opinions by various judges of this district, including Judge Keys was in Dell, right?

MR. LIPSCHULTZ: Correct.

THE COURT: And Judge Valdez in is it Igansias? Okay.

MR. LIPSCHULTZ: Yes.

THE COURT: And others that touch on this as well. I guess I -- I've drawn a few conclusions. And then I want to discuss a few things with you.

One conclusion that I've drawn is that I think that the amendments to the Freedom of Information Act kind of render some of the debate about Gekas rather academic because we have a change in some of the statute that is really a fundamental basis for asserting that there is a confidentiality interest; that is, that certain records, if sought through the Freedom of Information Act, would be exempt from production, which to the extent true would certainly show that there is some confidentiality interest.

I've looked at the other bases outside the Freedom of Information Act under which the defendants have asserted that these are confidential. And I really don't find those to support the argument. So I think it really turns in my judgment on an interpretation of the Freedom of Information Act.

And as the briefing went through the reply and surreply and surresponse and so forth, I think the lawyers

themselves focused on one particular provision of the amended Freedom of Information Act, and that's 5 ILC S140/7 subpart N, which creates an exemption for records relating to a public body's adjudication of employee grievances or disciplinary cases. However, this exemption shall not extend to the final outcome of cases in which discipline is imposed. And I know that Judge Keys and Judge Valdez have a different opinion about the proper interpretation of that provision.

It seems to me that it's difficult to say that what IPRA or IAD or OPS I guess before it did is, you know, adjudication. I mean, they serve an investigative function.

And I think that some of the publications by the police board itself say that, drawing a line between the IPRA role as receiving a complaint and investigating complaints, and saying that that's also what the police department does. And the board's role is to adjudicate similar to a court.

So if I were to look at simply that kind of duality, investigation versus adjudication, you know, I would conclude that what IPRA and IAD do is the investigation, not the adjudication.

Now, the statute does talk about protection for records relating to an investigation. And that takes us to a question of whether these investigative documents relate to -- I should say the statute says records relating to a public body's adjudication, not investigation. So to the extent that

investigative records relate to an adjudication, I think that the defendants here would have a stronger footing in the statute.

But even then it says that those records are not exempt in its -- in situations where the final outcome is the imposition of discipline.

So if I go back to our earlier discussion about the CRs in this case, as I understand it, there are two of them that resulted in some discipline. So it seems to me that there isn't really an argument that they are protected from disclosure under subpart N of that section of the Freedom of Information Act. And I don't see that they would be subject to, you know, confidentiality.

Now, with respect to matters that involve a recommendation at the IPRA or IAD or OPS level of no discipline, either because there is an exoneration or there is a lack of evidence to sustain, it seems to me that to the extent that it does not go to a superintendent, who is the person who imposes discipline, it will be short of a police board.

I think it's a tough -- tougher argument to say it relates to the adjudication because essentially, you know, an investigation -- I think at that investigative stage what they're really saying is, there isn't enough here, whether it's because there is exoneration or lack of evidence, that we even

have something to adjudicate.

So I think that in the situation where it doesn't go either to the police board or at least to the superintendent, at least the way that I would read this provision is, I don't think it really relates to adjudication because I think that what's going on is a decision that there is not enough there to adjudicate.

Now, I also want to point out that there are other changes in the Freedom of Information Act that I think at least bear pointing out. And one of them I want to focus on is subpart 1C. And that states that personal information contained within public records, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, unless it's consented to is exempt.

But then that section goes on to define what constitutes unwarranted invasion of personal privacy. And it says that that's information that's highly personal or objectionable to a reasonable person and to which -- I'm sorry -- in which the subject's right to privacy outweighs any legitimate public interest in obtaining the information.

The statute then goes on to say that the disclosure of information that bears on the public duties of public employees and officials shall not be considered an invasion of personal privacy. And to me that -- that has some bearing here in terms of how I interpret the exemption in subpart N because one of

the things it seems to me that that's saying is that material that's in files of a public entity that bear on the performance of public duties by an individual are not something which that person has the privacy or confidentiality interest that trumps the public interest in knowing what the person is doing or alleged to be doing in the course of discharge of public activities.

It seems to me that to read subpart N then the way that the defendants urge would be to attribute a confidentiality interest in officers in these complaint registers that I think is inconsistent with that formulation in subpart C of the statute. And so that bears on my analysis.

I also want to make reference to my ruling in the O'Malley case, which has been the subject of some flattering commentary by the parties. And in that case I did recognize a confidentiality interest in these types of records. That opinion, of course, predated the Gekas opinion, and it predated the amendment to the Freedom of Information Act that we're discussing here and the statutory determination in the Freedom of Information Act in subpart C, that disclosure of information that bears on public duties of public employees shall not be considered an invasion of personal privacy.

A confidentiality right that the officers may have has to be founded in some recognized interest. And I think that's a recognized interest really at state law, not at federal

common law. And so while I think my decision in O'Malley was correct under the statutes and law as interpreted in Illinois at the time, I think that subsequent decisions and statutory revisions have overtaking that. So I don't feel myself bound by my analysis in O'Malley in light of what has transpired since that time.

So where that leads me to is, you know, a conclusion that these CRs that have been produced are not subject to confidentiality. So right now the protective order in place gives them that confidentiality. So based on my ruling today, that ought to be amended.

Now, there is another provision in the Freedom of Information Act, subpart D, which creates an exemption for records created in the course of administrative enforcement proceedings and any law enforcement or correctional agency for law enforcement purposes, but only to the extent that disclosure would and then do one of seven things. I think that the parties need to look at whether there is certain information certainly that should be redacted. To the extent that anything was going to be disclosed publicly, certainly any personal identifying information should be redacted.

If there are confidential sources, I think subpart 4 of that section certainly says you can't disclose that type of information. So I think you need to look at those sections and see if you can reach agreement on what appropriate redactions

there should be. 1 Based on what's been indicated here, we're not dealing 2 3 with any CRs that involve pending or active or contemplated proceedings. So the first two subparts of this section don't 4 5 apply. 6 MR. LIPSCHULTZ: Although, Judge, I believe there is 7 an open CR as we speak. 8 THE COURT: Actually I thought that Mr. Noland said 9 that all the ones that have been produced were completed, that there were a couple, one or two, open ones. I can't remember 10 11 what you said. MR. NOLAND: Yes, your Honor. 12 THE COURT: But that those had not been produced yet. 13 14 MR. NOLAND: That's correct, your Honor. THE COURT: And that you were asserting on that the --15 basically the deliberative process, investigative --16 MR. NOLAND: Bond -- yes, sir. 17 THE COURT: Correct. Goes by a number of different 18 19 But we're all talking about the same thing. So that -- that's really not at this point the focus 20 of my order because those haven't been produced yet. 21 I understand. 22 MR. LIPSCHULTZ: THE COURT: All right. So how long would it take you 23 24 to sit down and figure out whether you -- you know, what needs to be redacted and to submit a revised protective order in 25

Case: 1:09-cv-04529 Document #: 70 Filed: 07/12/10 Page 15 of 25 PageID #:4875

MR. LIPSCHULTZ: Sure.

THE COURT: -- you know, you all were on the same page about what should be redacted if something was going to be disclosed publicly, and that we don't have something disclosed and then you have a fight about it later, because I don't think there is any urgency to go around disclosing it.

MR. NOLAND: And now that we are discussing that, if -- to the extent we get to that point --

THE COURT: Yes.

MR. NOLAND: -- before Judge Shadur, the procedure that he worked out in Padilla, that the parties worked out with the Court's involvement, was that the plaintiff went through the documents, made the redactions, any additional ones the plaintiffs felt appropriate or necessary under the Court's ruling, under Judge Shadur's ruling, provided the documents to the defense. The defense then had a period of time within which to say yea or nay or make additional redactions.

And as it turns out in Padilla, there was also a provision that said that if the defendants believed that any particular CR or any particular information in that CR met the good-cause standard under 26(c), defense could raise that at that time. That's the state -- that's the current status of Padilla. We did raise that, and that's been pending since October. So we --

THE COURT: I'm sorry. What's been pending?

MR. NOLAND: Our submission to Judge Shadur --1 THE COURT: I see. 2 MR. NOLAND: -- essentially quarreling with the 3 plaintiffs and, you know, on a specific CR-by-CR basis of why 4 5 this particular CR or that particular CR should still remain under the protective order despite kind of Judge Shadur's I 6 7 quess maybe general ruling. THE COURT: I think that right now he issued a general 8 9 ruling, I would suspect, because the issue probably came to him 10 in a similar way that it came, which was as a general proposition. The CRs are categorically subject to 11 confidentiality. He rejected that proposition and then 12 13 basically said, but as is often the case, there may be 14 particular instances where there is some important or compelling reason that that should be protected. And so he, I 15 would expect, invited people to bring that to his attention. 16 MR. NOLAND: That -- that is what he did, and that may 17 be one of our avenues of something we want to raise with your 18 19 Honor in some time --THE COURT: That's fine. If that's what you do, I 20 will certainly entertain it. Obviously talk with each other 21 about that first. 22 But in looking at whether a particular CR file might 23 24 meet that standard, I think it is useful to look at the subpart D of the Freedom of Information Act, because it lays out a 25

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number of considerations that I think, you know, in certain
1
     cases might or might not apply. You know, will disclosure
2
    unavoidedly disclose the identity of a confidential source or
3
    will endanger the life or physical safety of law enforcement
4
5
    personnel or something of that character.
              So I think you have to look on a file-by-file basis to
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7
    see if you think that there is reason for it not to be produced
    or where -- or maybe put another way, whether production
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9
    without more could raise one of these concerns. But also then
    to look at whether that concern can be addressed by things such
10
    as redaction.
11
              So I'm happy to let the parties engage in that
12
13
    process. And if you think -- you have experience with that in
14
    the Padilla case, I take it, Mr. Noland.
              MR. NOLAND: Yes, your Honor.
15
                          I don't know if you were party to that.
16
              THE COURT:
             MR. LIPSCHULTZ: Not a party to that case.
17
              THE COURT: So based on the experience that you had,
18
19
    do you think that two weeks is a sufficient time to accomplish
    that?
20
21
             MR. NOLAND: No.
22
              THE COURT: All right. What do you think is a
    reasonable time?
23
24
             MR. NOLAND: Thirty days, your Honor.
25
              THE COURT: Well, I am okay with that so long as at
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the end of 30 days we have everybody's position, you know, in 1 all of it, which means that the position, for instance, as to 2 which files, you know, could be produced with certain 3 redactions, which files you think couldn't be. 4 5 And -- and I do have to say, Mr. Noland, that I'm taking you, you know, at your word that you're looking at a 6 7 file-by-file basis. 8 MR. NOLAND: That's what we did. We -- with Judge 9 Shadur we prepared a -- essentially what was kind of a 10 spreadsheet memorandum CR by CR in which we raised particular and specific arguments. We submitted that to the Court as well 11 as with the -- Judge Shadur asked for the CRs themselves. 12 13 THE COURT: Sure. 14 MR. NOLAND: And so --THE COURT: May I ask a question about that? Were 15 there any CRs that weren't on the chart? 16 MR. NOLAND: No. That -- I will say this, your Honor, 17 in that particular case, I -- that is an SOS, a special 18 19 operation services case. And so it was our -- one of our arguments in that case is that it was particularly important 20 because of a criminal investigation that was ongoing. 21 22 THE COURT: All right. We don't have that here. MR. NOLAND: That's correct. There was a -- that --23 24 not at this time, that's right. The state did -- there was, from the newspapers we understand, an investigation of Officer 25

Parker.

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This state has chosen not to indict or prosecute him.
 1
              THE COURT: And so I -- I raise that point because I
 2
     think that you certainly have the right to look at these files
 3
     on a file-by-file basis to see if there is good cause. And I
 4
 5
     do commend to you this -- these considerations in subpart D of
     the Freedom of Information Act section we've been talking
 6
 7
     about, that they shouldn't be public either in whole or in
     part. But I don't want this to be a backdoor way to simply
 8
 9
     reassert what has been rejected, which is they can never be
    public. All right?
10
              MR. LIPSCHULTZ: I understand the Court's ruling.
11
              THE COURT: Okay. Then I'll give you 30 days to
12
13
     submit, you know, a filing. What I'd like is it to be -- I'd
14
     like it to be a joint filing where it reflects what agreements
     the parties have with respect to production of certain CRs,
15
     where the disagreements are and what the specific elements of
16
     disagreement are. Okay?
17
              MR. NOLAND: Understood.
18
19
              THE COURT: And once I see that, I can decide what the
    best way may be to resolve any of those disputes, you know,
20
     whether I need to look at the files, whether I need more
21
     briefing, some of each. Okay?
22
              MR. NOLAND: Can I ask one point of clarification --
23
24
              THE COURT: Sure.
              MR. NOLAND: -- and that is, because I know when I
25
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respect to the amendment to the protective order --

MR. LIPSCHULTZ: Correct.

24

25

Case: 1:09-cv-04529 Document #: 70 Filed: 07/12/10 Page 21 of 25 PageID #:493,

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THE COURT: -- that I actually enter the amended
 1
     protective order?
 2
 3
              MR. LIPSCHULTZ: Correct.
              MR. NOLAND: That's fine.
 4
 5
              THE COURT: Well, may -- look, maybe that's a useful
 6
     process anyway because then when people make decisions about
 7
     what course of action they want to take, they can see, you
 8
    know, the whole array.
 9
              MR. NOLAND: And the reason in Padilla is the
    reason -- an interlocutory appeal was asserted.
10
              THE COURT: What's the status of that, by the way?
11
              MR. NOLAND: The -- ultimately the plaintiffs filed a
12
13
     motion to dismiss as premature. The city's appellate law
14
     department filed a brief in response saying essentially -- I'd
     ask not to be -- hopefully no admissions because I didn't write
15
16
     it, and I can't recall exactly what it said. But my -- my
     recollection, it was essentially that we agree with that to a
17
     certain extent. We think that the Seventh Circuit should hold
18
19
     it in abeyance until Judge Shadur rules on that submission --
20
              THE COURT: Okay.
              MR. NOLAND: -- I referred to to the --
21
22
              THE COURT: And the Seventh Circuit has agreed to do
     that?
23
24
              MR. NOLAND: I don't believe there has been any --
     they haven't agreed or disagreed. There hasn't been an order
25
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issued in response.
 2
              THE COURT: Okay. And how long has that been?
    Several months?
 3
              MR. NOLAND: I believe it's been since November.
 4
 5
              THE COURT: Okay. All right.
              Well, why don't we do this: I've indicated today how
 6
 7
     I interpret this provision, and I indicated that I want the
     parties to tender a, you know, revision to the protective order
 8
 9
     consistent with the ruling. So why don't you submit that at
     the 30-day-out period as well. So then I'll have all that in
10
     front of me, and I'll enter, once I see all of that and
11
12
     entertain any further argument I may need, an order that will
13
     allow you to decide on the basis not only of this
14
     interpretation of or the ruling on confidentiality but how it
     applies to each file. There is a dispute. What options you
15
     want to pursue.
16
              MR. NOLAND: Thank you, your Honor.
17
              THE COURT: All right?
18
19
              MR. LIPSCHULTZ: Judge, can I just add --
              THE COURT: Thirty days will be then, make it --
20
              MR. LIPSCHULTZ: I would just like to add one point
21
22
     that may or may not come up in our deliberations. But it'll
    be -- it will be the plaintiff's position that because Officer
23
24
     Parker is no longer an officer, he is no longer subject to the
25
     adjudication process whatsoever. So I think that's a
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particularly important fact for this protective order and any 1 clarifications therefrom. I don't think Parker can any longer 2 be subject to the jurisdiction of the police board. 3 THE COURT: And are you making that observation for 4 5 its significance, in your mind, with respect to the files that 6 have been produced or with respect to the pending 7 investigations? MR. LIPSCHULTZ: Both. 8 9 THE COURT: Well, I guess some of that goes to what subpart N is designed to protect. And certainly I think that 10 part of what it's designed to protect is to some extent the 11 12 deliberative process. 13 But I understand what you've said. I won't say that I 14 understand exactly how you may use that later. But in the fullness of time, maybe I will because you will explain it in 15 the context of some concrete argument. 16 MR. LIPSCHULTZ: Very good, Judge. 17 THE COURT: All right? Anything further? Okay. 18 19 Thanks for coming over. MR. NOLAND: Thanks for your time, your Honor. 20 THE COURT: All right. And we have a status May 27. 21 So I think this time frame works, you know, suitably for 22 everybody in terms of getting this before me. And I can take a 23 24 look at it before the point is out. 25 MR. NOLAND: Thank you very much.

Ca	e: 1:09-cv-04529 Document #: 70 Filed: 07/12/10 Page 25 of 25 PageID #:497 <sub>25</sub>
1	THE COURT: Thanks a lot.
2	MR. LIPSCHULTZ: Thank you for your time.
3	(Which were all the proceedings had at the hearing of the
4	within cause on the day and date hereof.)
5	CERTIFICATE
6	I HEREBY CERTIFY that the foregoing is a true, correct
7	and complete transcript of the proceedings had at the hearing
8	of the aforementioned cause on the day and date hereof.
9	/s/Alexandra Roth 4/8/2010
10	Official Court Reporter Date
11	U.S. District Court  Northern District of Illinois
12	Eastern Division
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